

DECLARATION FOR ORIGINAL U.S. PATENT APPLICATION

COPY Attorney's Docket No. 60021.375601

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: FINANCIAL PORTFOLIO RISK MANAGEMENT, the specification of which,

(check one)

1. _____ is attached hereto.

2. ☒ was filed on November 1, 2000 as
U.S. Application Serial No. 09/705,287
and was amended on July 20, 2001.

3. _____ was filed on _____ as
International PCT Application Serial No. _____
and was amended on _____.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, CFR § 1.56.

I hereby claim foreign priority benefits under Title 35, United States code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Benefits Claimed?

(Appl. No.) (Country) (Date Filed- Day/Month/Year)

☐ Yes ☐ No

(Appl. No.) (Country) (Date Filed- Day/Month/Year)

☐ Yes ☐ No

(Appl. No.) (Country) (Date Filed- Day/Month/Year)

☐ Yes ☐ No

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this applications is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Application(s)

COPY

09/431,390
(Application Serial No.)

November 1, 1999
(Filing Date)

(Status - patented, pending, abandoned)

09/580,352
(Application Serial No.)

May 25, 2000
(Filing Date)

(Status - patented, pending, abandoned)

Send Correspondence To:

OPPENHEIMER WOLFF & DONNELLY, LLP
1400 Page Mill Road
Palo Alto, California 94304

Direct Telephone Calls To:

Daphne Burton at telephone number (202) 312-8000

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Type written Full Name of

Sole or First Inventor: Ronald E. Sloan

Citizenship: Canada

Inventor's signature: 

Date of Signature: August 4, 2001

Residence: (City) Toronto

(State/Country) Ontario/Canada

Post Office Address: 228 Briar Hill Avenue, Toronto, Ontario, M4R 1J2, Canada

Full Name of Second Joint

Inventor (if any): Stephen B. Slutsky

Citizenship: Canada

Inventor's signature: _____

Date of Signature: _____

Residence: (City) Toronto

(State/Country) Ontario/Canada

Post Office Address: 206 St. George Street, Penthouse B, Toronto, Ontario, Canada M5R 2N6

DECLARATION FOR ORIGINAL U.S. PATENT APPLICATION

Attorney's Docket No. 60021.375601

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(Appl. No.)

(Country)

(Date Filed- Day/Month/Year)

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(Appl. No.)

(Country)

(Date Filed- Day/Month/Year)

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Typewritten Full Name of

Sole or First Inventor: Ronald E. Sloan

Citizenship: Canada

Inventor's signature: 

Date of Signature: August 4, 2001

Residence: (City) Toronto

(State/Country) Ontario/Canada

Post Office Address: 228 Briar Hill Avenue, Toronto, Ontario, M4R 1J2, Canada

Full Name of Second Joint

Inventor (if any): Stephen B. Slutsky

Citizenship: Canada

Inventor's signature: _____

Date of Signature: _____

Residence: (City) Toronto

(State/Country) Ontario/Canada

Post Office Address: 206 St. George Street, Penthouse B, Toronto, Ontario, Canada M5R 2N6

ASSIGNMENT RECORDATION COVER SHEET
-PATENTS ONLY-

To: Honorable Commissioner of Patents and Trademarks:

Please record the attached original document(s) or copy thereof.

COPY

1. Name of conveying party(ies)

- a) Ronald E. Sloan
- b) Stephen B. Slutsky

2. Name and address of receiving party(ies):

- a) Name: Accenture, LLP
- Address: 1661 Page Mill Road
Palo Alto, California 94304

3. Nature of conveyance

- | | | | |
|-------------------------------------|--------------------|--------------------------|-------------------|
| <input checked="" type="checkbox"/> | Assignment | <input type="checkbox"/> | Merger |
| <input type="checkbox"/> | Security Agreement | <input type="checkbox"/> | Change of Name |
| <input type="checkbox"/> | Other _____ | <input type="checkbox"/> | License Agreement |

Execution Date: August 4, 2001

4. Application Number(s) or Patent Number(s): 09/705,287, filed on November 1, 2000

The title of the (n ew) application is:

FINANCIAL RISK PORTFOLIO MANAGEMENT

5. Please send all correspondence concerning this (these) documents to:

OPPENHEIMER WOLFF & DONNELLY, LLP
1400 Page Mill Road
Palo Alto, CA 94304
Tel. No.: (650) 320-4358
Fax No.: (650) 320-4200

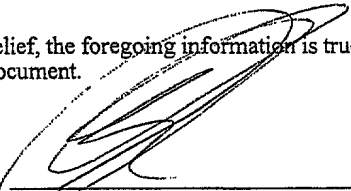
6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

- ☒ Enclosed
- ☐ Authorized to be charged to Deposit Account No. 50-0797
(Order No. 60021.375601)

8. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Date: August 9, 2001


Rambod Nader
Registration No. 47,262

ASSIGNMENT OF PATENT APPLICATION

COPY

Whereas I/we the undersigned inventor(s) have invented certain new and useful improvements as set forth in the patent application entitled:

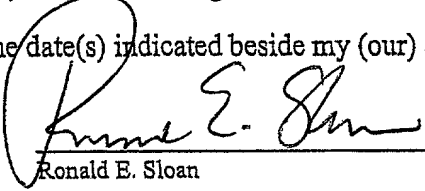
FINANCIAL PORTFOLIO RISK MANAGEMENT

Serial No. 09/705,287; filed November 1, 2000 (Atty. Docket No.: 60021.375601) for which I (we) have executed an application for a United States Letters Patent.

For good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, I/we the undersigned inventor(s) hereby:

- 1) Sell(s), assign(s) and transfer(s) to ACCENTURE, LLP, an Illinois limited liability partnership, having a place of business at 1661 Page Mill Road, Palo Alto, California 94304, (hereinafter referred to as "ASSIGNEE"), the entire right title and interest in any and all improvements and inventions disclosed in, application(s) based upon, and Patent(s) (including foreign patents) granted upon the information which is disclosed in the above referenced application.
- 2) Authorize and request the Commissioner of Patents to issue any and all Letters Patents resulting from said application or any division(s), continuation(s), substitutes(s) or reissue(s) thereof to the ASSIGNEE.
- 3) Agree to execute all papers and documents and, entirely at the ASSIGNEE's expense, perform any acts which are reasonably necessary in connection with the prosecution of said application, as well as any derivative and applications thereof, foreign applications based thereon, and/or the enforcement of patents resulting from such applications.
- 4) Agree that the terms, covenants and conditions of this assignment shall inure to the benefit of the Assignee, its successors, assigns and other legal representative, and shall be binding upon the inventor(s), as well as the inventor's heirs, legal representatives and assigns.
- 5) Warrant and represent that I/we have not entered, and will not enter into any assignment, contract, or understanding that conflicts with this assignment.

Signed on the date(s) indicated beside my (our) signature(s).

1) Signature: 
Typed Name: Ronald E. Sloan

Date: August 4, 2001

2) Signature: _____
Typed Name: Stephen B. Slutsky

Date: _____